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| Title | Conduct routine regulatory investigations | | |
| Level | 4 | Credits | 10 |

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| Purpose | <p>This unit standard is for people currently employed as regulatory officers.</p> <p>People credited with this unit standard are able to:</p> <ul style="list-style-type: none"> – prepare to conduct regulatory investigations; – conduct the regulatory investigations; – evaluate the regulatory investigations; and – finalise and review the regulatory investigations |
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| Classification | Public Sector Compliance > Public Sector Compliance Operations |
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| Available grade | Achieved |
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Guidance Information

1 Definitions

Organisational requirements refer to instructions to staff on policies, procedures, and methodologies which are documented and are available in the workplace. This includes an organisation's obligations under Te Tiriti o Waitangi/ The Treaty of Waitangi.

The Regulatory sector has a number of terms with specific usage. For current definitions visit [Programme Guidance- Skills](#).

2 References include but are not limited to

Crimes Act 1961;
 Health and Safety at Work Act 2015;
 New Zealand Bill of Rights Act 1990;
 Oranga Tamariki Act 1989;
 Public Service Act 2020;
 Search and Surveillance Act 2012;
 Te Tiriti o Waitangi/Treaty of Waitangi;
 Trespass Act 1980;
 specific legislation mandating the powers and duties of a specific organisation with respect to its regulatory role and/or any other legislation applicable to a particular regulatory situation (e.g. Fisheries Act 1996, Resource Management Act 1991);
 and any subsequent amendments and replacements.

3 Range

a Demonstration of knowledge and skills must be consistent with any applicable code or codes of conduct such as the New Zealand State Services Code of Conduct, *Standards of Integrity and Conduct* (available from

<http://www.publicservice.govt.nz>) and/or any other agency specific code or codes of conduct and/or ethics.

- b Evidence must be from two investigations within the scope of the candidate's role and which require preparation.
- c All regulatory investigations must be performed under the candidate's organisation's legislative functions and powers.

Outcomes and performance criteria

Outcome 1

Prepare to conduct regulatory investigations.

Performance criteria

- 1.1 Prepare to conduct regulatory investigations consistent with organisational requirements, and investigations' focus.

Range preparation includes –confirming legislative powers to investigate, specifying the purpose, objectives, identifying and allocating resources.
May include but is not limited to planning for desk-top analysis, field work.

Outcome 2

Conduct the regulatory investigations.

Performance criteria

- 2.1 Conduct the regulatory investigations consistent with organisational requirements, and investigations' focus.

Range may include but is not limited to identifying new sources of information, adapting investigation approach, formulating questions, conducting interviews, collecting samples, checking facts, obtaining and preserving evidence, taking notes.

- 2.2 Communicate effectively with parties who are involved with the regulatory investigation, consistent with organisational requirements.

Range communication may include but is not limited to – non-verbal, oral, written communication, active listening, demonstrating empathy, building rapport whilst maintaining appropriate boundaries, use of questions to obtain and clarify information.

- 2.3 Practice standards of conduct and integrity required of people working in a regulatory role while conducting an investigation in accordance with organisational requirements.

Outcome 3

Evaluate the regulatory investigations.

Performance criteria

3.1 Evaluate the regulatory investigations in accordance with organisational requirements.

Range may include but is not limited to – evaluating information to identify evidence, culpability of persons involved, actions not yet completed, further action required.

Outcome 4

Finalise and review the regulatory investigations.

Performance criteria

4.1 Finalise regulatory investigations in accordance with organisational requirements.

Range excludes judicial proceedings.

4.2 Produce documentation relating to the regulatory investigations in accordance with organisational requirements.

4.3 Review regulatory investigations to identify opportunities for improved future practice in accordance with organisational requirements.

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| Planned review date | 31 December 2025 |
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Status information and last date for assessment for superseded versions

| Process | Version | Date | Last Date for Assessment |
|--------------|---------|------------------|--------------------------|
| Registration | 1 | 18 February 2016 | 31 December 2023 |
| Review | 2 | | |

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| Consent and Moderation Requirements (CMR) reference | 0121 |
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This CMR can be accessed at <http://www.nzqa.govt.nz/framework/search/index.do>.

Comments on this unit standard

Please contact The Skills Organisation at reviewcomments@skills.org.nz if you wish to suggest changes to the content of this unit standard.